

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

0410

In re Patent Application of:

03-30-01

Our Ref.: P/3879-9

HOWORKA et al.

Date: March 29, 2001

Serial No.: 09/602,498

Group Art Unit: --

Filed: 6/23/00

Examiner: --

Title: ARCHITECTURE FOR AN ANONYMOUS TRADING SYSTEM

Assistant Commissioner of Patents
Washington, D.C. 20231SUBMISSION

Sir:

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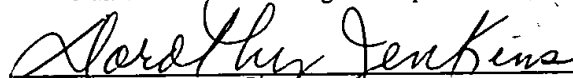
<input checked="" type="checkbox"/>	Submitted herewith is a copy of art together with an art listing form listing the same for the convenience of the Examiner.
<input type="checkbox"/>	The document(s) listed on the attached art listing form was/were cited in a Search Report issued by a foreign patent office in a related application. A copy of the Search Report (in the English language) is attached hereto for the Examiner's reference.
<input type="checkbox"/>	The Japanese Publication(s) listed on the attached art listing form was/were cited in a Japanese Office Action issued in a related application. A copy of the Japanese Office Action and an English-language translation of the relevant portions are also attached.
<input type="checkbox"/>	This submission is being made after the issuance of a first Office Action and three months after the application filing date. Thus a Certification Under 37 C.F.R. § 1.97(e) is set forth below.
<input type="checkbox"/>	I hereby certify that each item of information contained in this Submission was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Submission (37 C.F.R. § 1.97(e)).
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<input type="checkbox"/>	This submission is being made after the issuance of the first Office Action and without a certification. The fee of \$180.00 under 37 C.F.R. § 1.17(p) is attached.
<input type="checkbox"/>	This submission is being made after the issuance of a final rejection or a Notice of Allowance but prior to the payment of the issue fee. Applicant(s) hereby attach the fee of \$180.00 under 37 C.F.R. § 1.17(l). A certification under 37 C.F.R. § 1.97(e) is set forth above.

EXPRESS MAIL CERTIFICATE

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EL613109303US) in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231-9999, on March 29, 2001:

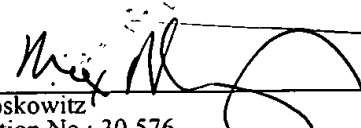
Dorothy Jenkins

Name of Person Mailing Correspondence

Signature
March 29, 2001

Date of Signature

Respectfully submitted,


Max Moskowitz
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New York, New York 10036-8403
Telephone: (212) 382-0700

SIW/MM:sks/Enclosure PTO-1449 (with 100 references total)

APPLICANT'S ART CITATION

(Use several sheets if necessary)

Application 09/602,498

OFGS File No. P/3879-9

Applicant HOWORKA et al.

Filing Date 6/23/00

Group Art Unit __

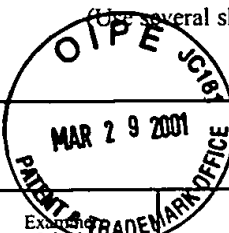
U.S. PATENT DOCUMENTS

Initials	Document Number							Date	Name	Class	Sub-class	Filing Date If Appropriate
	4	3	8	8	4	8	9	6/1983	WIGAN et al.			
	4	5	3	1	1	8	4	7/1985	WIGAN et al.			
	5	0	0	3	4	7	3	3/1991	RICHARDS			
	5	2	6	7	1	4	8	11/1993	KOSAKA et al.			
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	4	5	9	8	3	6	7	7/1986	DeFRANCESCO et al.			

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APPLICANT'S ART CITATION (Use several sheets if necessary)		Application 09/602,498				OFGS File No. P/3879-9						
		Applicant HOWORKA et al.										
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 U.S. PATENT DOCUMENTS												
Examiner Initials	Document Number							Date	Name	Glass	Sub- class	Filing Date If Appropriate
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	5	9	6	6	5	3	1	10/1999	SKEEN et al.			
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	5	2	8	7	7	8	7	2/1994	SATOSHI			
	5	2	7	0	9	2	2	12/1993	HIGGINS			
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APPLICANT'S ART CITATION (Attach additional sheets if necessary)		Application 09/602,498		OFGS File No. P/3879-9	
		Applicant HOWORKA et al.			
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	Document Number							Date	Country	Class	Sub-class	Translation	
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Application 09/602,498

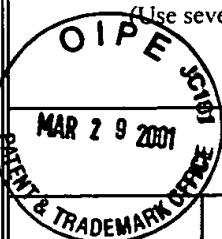
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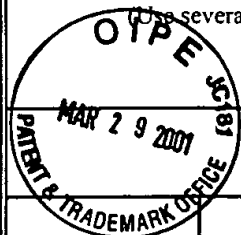
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	98/	2	1	6	6	7		5/1998	WO/PCT (in English)			n/a	

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	Mini Computer forum, Conference Proceedings, 1975.
	Wall Street Computer Review, 1998.
	Computers in the City, Conference Proceedings, 1988.
	Banking Technology, 1988, Vol. 5, No. 5.

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